

9-15-00

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PATENT

Docket No. IL-10680

Commissioner for Patents
Washington, DC 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of Inventor(s):
Earl R. Ault

For (title): **High Power Laser Having a Trivalent Titanium Liquid Host**

1. Type of Application

- ☒ This new application is for an original patent.
- ☐ This new application is a:
 - ☐ Division
 - ☐ Continuation
 - ☐ Continuation-in-part (CIP)

2. Benefit of Prior U.S. Application(s) (35 USC 120)

- ☐ The new application being transmitted claims the benefit of prior U.S. application(s):

3. ☐ Benefit under 35 U.S.C. 119(e) of United States provisional application(s) listed below:

Application Serial No.

Filing Date

4. Papers enclosed which are required for filing Date Under 37 CFR 1.53(b).

16 Pages of specification

3 Pages of claims

1 Pages of abstract

6 Sheets of drawings

☒ formal

☐ informal

5. Additional papers enclosed

- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement
- ☐ Form PTO-1449



09661653-091400

6. Declaration or oath

- ☒ Enclosed and executed by
 - ☒ inventors
 - ☐ legal representative of inventor(s) 37 CFR 1.42 or 1.43
- ☐ Not Enclosed

7. Assignment

- ☒ An assignment of the invention to The Regents of the University of California.
 - ☒ is attached
 - ☐ will follow

8. Certified Copy

Certified copy(ies) of application(s)

(country)	(application no.)	(filed)
(country)	(application no.)	(filed)

from which priority is claimed

- ☐ is(are) attached.
- ☐ will follow

9. Fee Calculation

CLAIMS AS FILED					
Type of Claim	Number Filed	Included in Basic Fee	Number Extra	Rate	Total Fee
Total Claims	9	-20	=	x \$18	= \$
Independent Claims	3	-3	=	x \$78	= \$
				Multiple Claims	= \$
				Basic Filing Fee	= \$ 690.00
				Sub-Total	= \$ 690.00
				Small Entity Filing Fee	= \$ 345.00

10. **Small Entity Statement(s)**

- Verified Statement that this is a filing by small entity under 37 CFR 1.9 and 1.27 is attached.

Filing Fee Calculation (50% of regular filing fee) \$ 345.00

11. **Fee Payment**

- ☐ Not Enclosed
- Enclosed (See Account No. Below)

Total Basic Filing Fees To Be Paid \$ 345.00

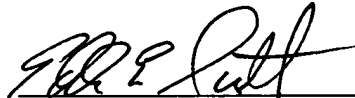
12. **Method of Payment of Fees**

- ☐ Check in the Amount of \$ _____
- Charge Account No. 12-0695 in the amount of \$ 345.00
A duplicate of this transmittal is attached.

13. **Instructions As To Overpayment/Underpayment**

- credit/charge
Account No. 12-0695
- ☐ refund

Dated: September 13, 2000



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004160-034400

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Earl R. Ault

Attorney Docket No. : IL-10680

Serial No. :

Art Unit:

Filed :

Examiner:

For : High Power Laser Having a Trivalent Titanium Liquid Host

Commissioner for Patents
Box PATENT APPLICATION
Washington, D.C. 20231

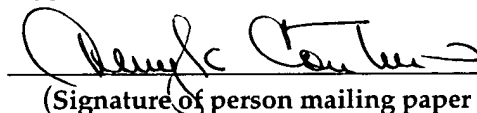
EXPRESS MAIL CERTIFICATE"Express Mail" label number EM012648557USDate of Deposit September 14, 2000I hereby certify that the following *attached*

Express Mail Certificate; and return postcard;
New Application Transmittal (original and one copy);
Verified Statement Claiming Small Entity Status;
Recordation Cover Sheet and Assignment;
Application (Specification 16 pages, Claims 3 pages,
Abstract 1 page); Six (6) sheets formal drawings;
Declaration/Power of Attorney

is being deposited with the United States Postal Service "Express Mail Post Office to addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Box PATENT APPLICATION, Commissioner for Patents, Washington, D.C. 20231.

Terry K. Contreras

(Type or print name of person mailing paper)



(Signature of person mailing paper or fee)

0041650" E59T9950

Applicant	: Earl R. Ault	Docket No.	: IL-10680
Serial No.	:	Art Unit	:
Filed	:	Batch No.	:
For	: High Power Laser Having a Trivalent Titanium Liquid Host	Examiner	:

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS [37 CFR 1.9 (f) and 1.27(d)] - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

The Regents of the University of California
Office of General Counsel
1111 Franklin Street
Oakland, CA 94607-5200

TYPE OF ORGANIZATION

 X University or other Institute of Higher Education

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled High Power Laser Having a Trivalent Titanium Liquid Host by inventor(s) Earl R. Ault

described in

X the specification filed herewith.

_____ application serial no. _____, filed _____.

_____ patent no. _____, issued _____.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention, except for a license to a Federal Agency pursuant to 35 USC 202(c) (4).

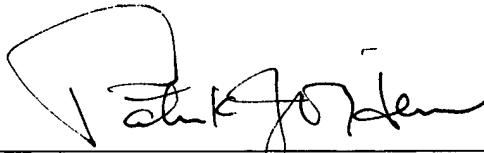
Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

 X no such person, concern, or organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true: and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

JANET G. TULK
Laboratory Counsel
Lawrence Livermore National Laboratory
7000 East Avenue, L-701
Livermore, CA 94551



JANET G. TULK

4 Sept 00

Date

09661653-091400